

Instructions for Homeland Security and Overseas Combating Terrorism Data Collection

Introduction

In the 2004 budget process, Homeland Security (HS) and Overseas Combating Terrorism (OCT) funding levels were identified by appropriations account in the MAX A-11 database. After this information was entered in MAX, OMB then asked agencies to identify the activity-level details that made up by the amounts reported at the account level. All of this information is again required for the 2005 budget.

In addition, pursuant to section 889 of the Homeland Security Act of 2002, the President's budget is required to include a detailed, separate analysis of Homeland Security funding included in the budget. Therefore, starting with the 2005 budget process, OMB circular A-11 includes the requirement that agencies submit activity-level HS and OCT information with their fall budget submissions (due September 8, 2003). This information will be used to inform the budget decision-making process and to develop the legally-mandated analysis in the President's budget. As it has in the past, OMB will also use this information to answer *ad hoc* questions from various decision-makers in the Administration and the Congress. Periodic updates to estimates may be required as a result of Congressional action or other changes.

OMB has refined the database used to collect HS and OCT funding data to address a variety of end-user concerns raised in the 2004 data collection cycle. As part of these changes, the distribution of the database has been changed to CD-ROM format, and the installation process may require the assistance of your Agency's network administrator. Please review the section "Getting and Installing the Homeland Security and Overseas Combating Terrorism Database" carefully.

Points of Contact

General data collection and database questions: Jim Holm, 202-395-1096, jholm@omb.eop.gov; Andrew Abrams, 202-395-3823, aabrams@omb.eop.gov.

National Strategy Mission Area Definitions: David Aidekman, 202-456-2270, daidekman@who.eop.gov; Andrew Abrams, 202-395-3823, aabrams@omb.eop.gov; Jim Holm, 202-395-1096, jholm@omb.eop.gov.

Other Definitions (Critical Infrastructure Protection, Continuity of Operations, Weapons of Mass Destruction, Research & Development): Andrew Abrams, 202-395-3823, aabrams@omb.eop.gov; Jim Holm, 202-395-1096, jholm@omb.eop.gov.

Getting and Installing the Homeland Security and Overseas Combating Terrorism Database

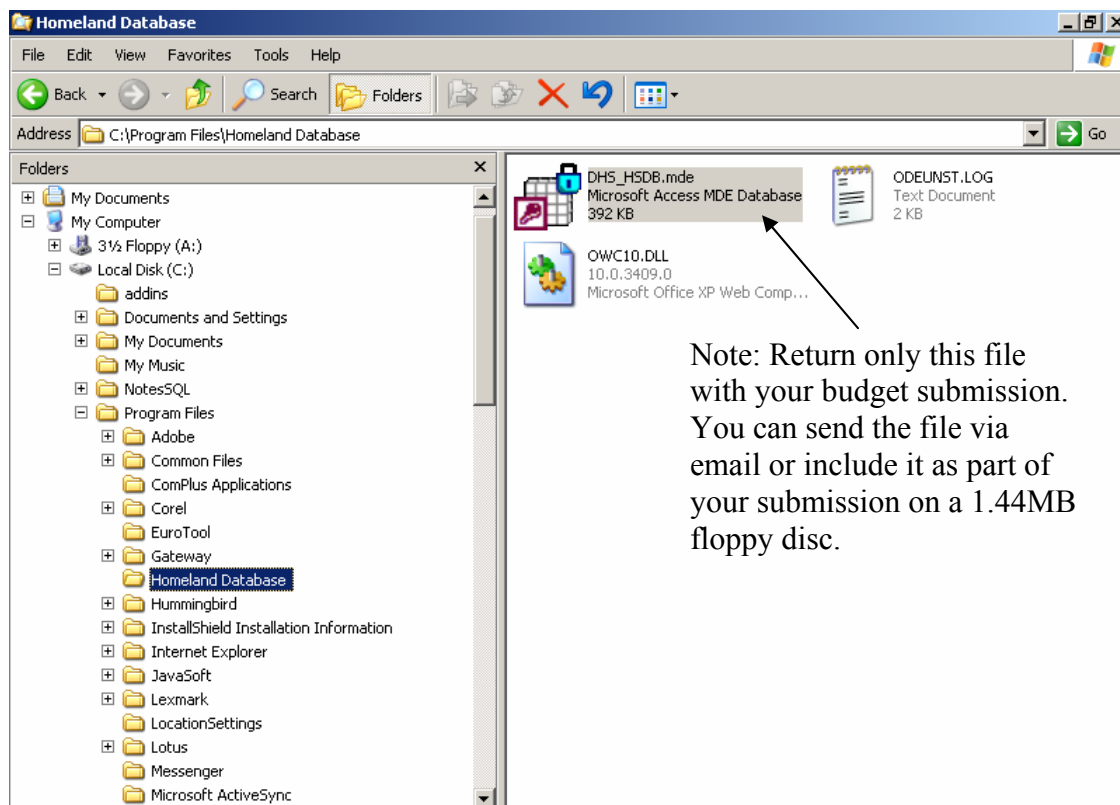
The 2005 Homeland Security and Overseas Combating Terrorism Database (the database) is available on CD-ROM from your OMB examiner. If you have not yet received your Agency's copy, please contact your OMB examiner to arrange pick-up or delivery of the software.

Because of conflicting generations of MS Office, the database now includes a stand-alone "run-time" version of MS-Access that requires software installation privileges for the computer on which you wish to use the database. Please check with your Agency's technical support or network administrator to ensure that you are able to install new software on your computer and for any assistance installing the programs.

Once you have the CD-ROM for the database, place it in your computer's CD-ROM drive, and run the program d:\setup.exe\ . The installation shield will guide you through the steps of the installation process.

Returning the Database to OMB

Although the database is distributed on CD-ROM, the file to be returned to OMB can be sent through most email systems or will actually fit on a regular 1.44MB floppy disc. The copy of the database should be in the "Program Files" directory of the local hard drive (c-drive) of the computer on which you installed the software. Within "Program Files" you will find a subdirectory titled "Homeland Database." In the "Homeland Database" subdirectory, locate the file named "AGENCY_HSDB.mde" (in this example "DHS_HSDB.mde") and return it to your OMB examiner with your fall budget submission, either on floppy disc or via email. The following image shows the location of the files:



The Concept of Activity-Level Data

To support various analyses of HS and OCT estimates, OMB must collect funding and program information at both the account and the activity level. For this exercise, "activity" means a set of programs or projects that make up a coherent effort, at a level of detail sufficient for OMB, HSC, comptrollers, and Congressional auditors to analyze federal spending on HS and OCT activities. OMB has purposely left the definition of "activity" to the interpretation of respondent agencies, to allow for flexibility in responses. Agencies should work with their OMB examiners to determine the appropriate level of aggregation for reporting. A general rule of thumb is to break out activities to the smallest, self-contained unit. Since this information may only be available within bureaus, agency comptrollers should work closely with bureau and program managers to collect the data.

(Agencies that would like to consult past activity-level submissions but do not have that information should contact their OMB examiner.)

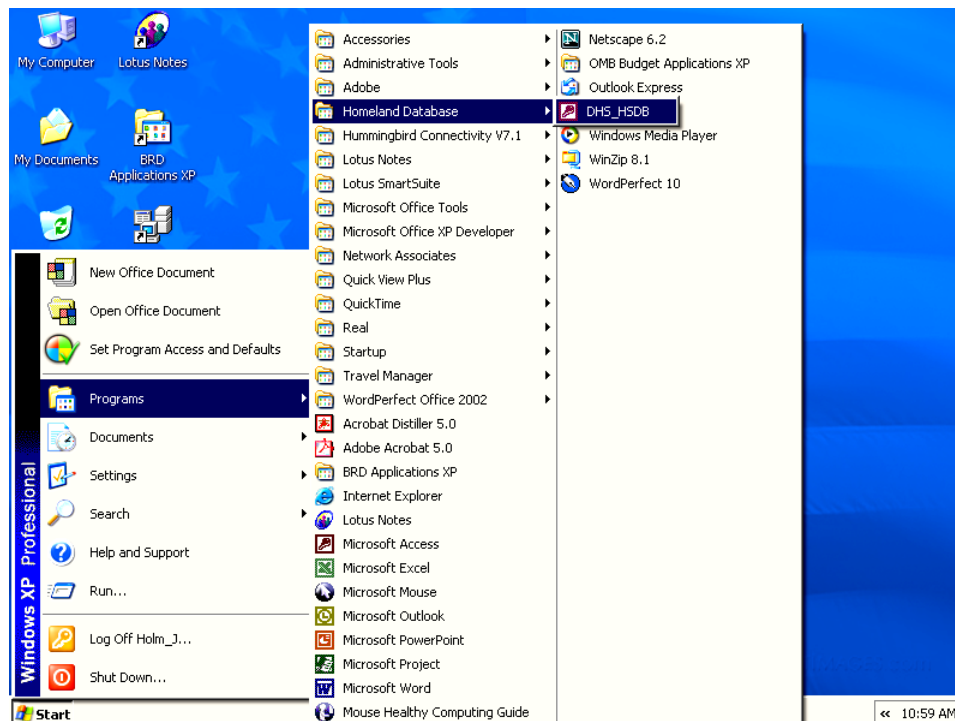
Examples of Activity-Level Reporting

Overly Aggregated Details	Overly Disaggregated Details	Appropriate Activity Level
Vaccine research	5,000 test tubes for use in next-generation anthrax vaccine research.	Research on a next-generation anthrax vaccine.
Computer security	Hackerblock version 7.3 firewall software development	Computer firewalls, including development, purchase, operation and maintenance
First responder grants	80 radios for Smallville, USA Volunteer Fire Department	Communications equipment for first responders

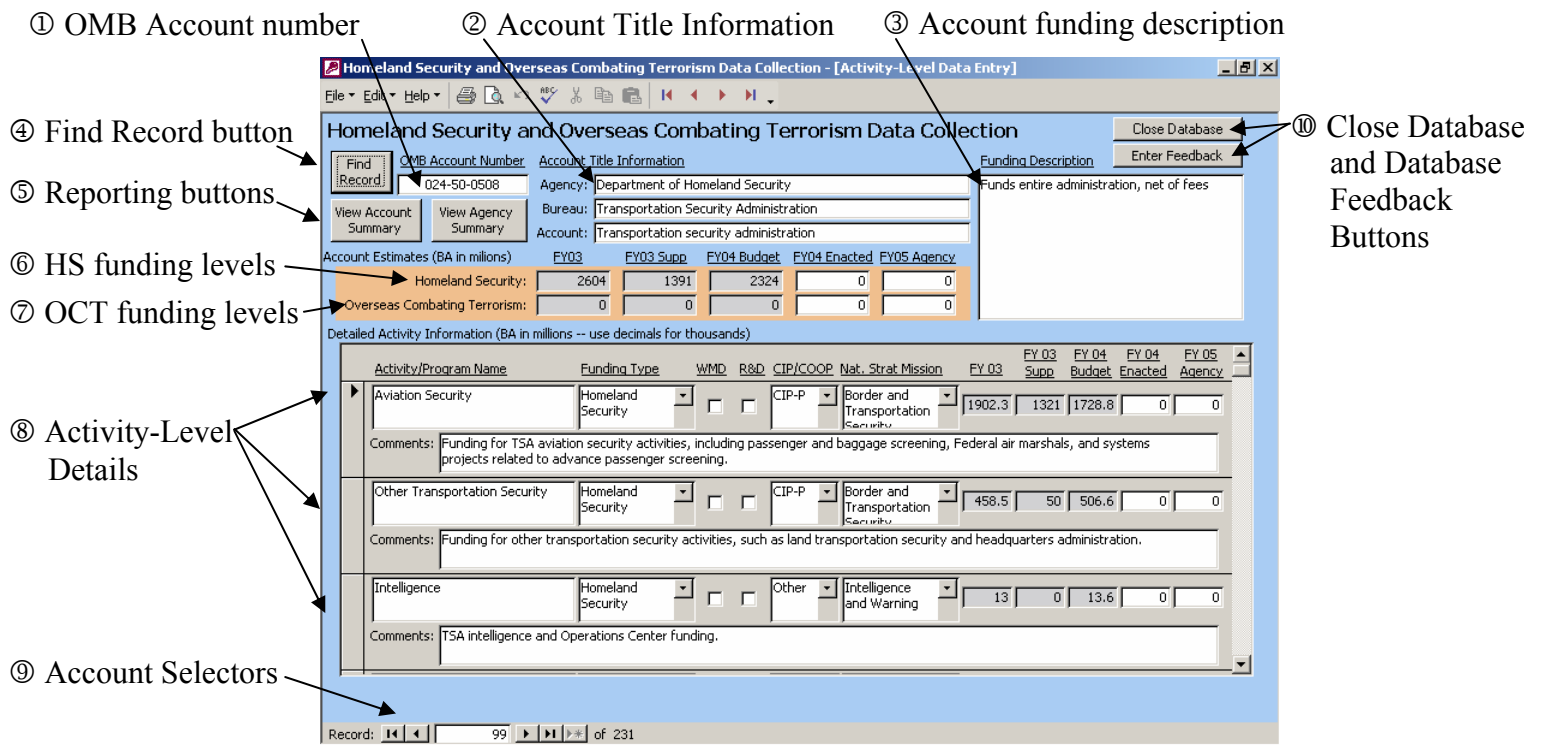
Using the Database

To use the database, you must first install it and the related software on your computer. Your OMB representative will supply you with a CD-ROM that includes the both your agency's copy of the database as well as the related software to run the program. Please refer to the section "Getting and Installing the Homeland Security and Overseas Combating Terrorism Database" for more information.

Once you have installed your agency's copy of the database, the program will appear on your Start menu as part of the "Homeland Database" program group. To open the database, select the file "AGENCY_HSDB" from the "Homeland Database" program group as shown below (in this example, the file is "DHS_HSDB" for the Department of Homeland Security database):



On opening the database file, you will see the interface for entering data and printing reports:



The following sections describe the various sections of the interface and how they are used.

① The OMB account number should be familiar to you. This number identifies the appropriations account in which the funding has been requested in the budget. The OMB account number has three parts, which can be described as AAA-BB-CCCC. The AAA part represents the Agency code, BB represents the Bureau code, and CCCC (or CCCCCC for receipt accounts) represents the appropriation account. For additional information about OMB account numbers, please see OMB circular A-11, page C-1. The account number fields are locked and can not be changed in this database. Homeland Security or Overseas Combating Terrorism funding shown for the account should correspond to the expenditures made from the appropriation account depicted.

② The account title information includes the Agency, Bureau, and Account Titles. These titles correspond to the actual organizational entities represented by the account numbers. The account title fields are locked and can not be changed in this database.

③ The account funding description provides a brief overview of the Homeland Security and Overseas Combating Terrorism activities that are funded through this account. The description was developed by the OMB examiner for the account, and can not be changed.

④ The Find Record button allows you to easily navigate multiple records to find the appropriations account for which you want to enter data. To use the button, simply click on it to generate this interface:

Select the account from the pull-down menu to go to that record.

Account Title:

024-50-0503	Department of Homeland Security, Border and Transportation Security, Customs and Border Protection
024-50-0503	Department of Homeland Security, Border and Transportation Security, MANDATORY, Customs and Border Protection
024-50-0504	Department of Homeland Security, Border and Transportation Security, MANDATORY, Immigration and Customs Enforcement
024-50-0504	Department of Homeland Security, Border and Transportation Security, Immigration and Customs Enforcement
024-50-0508	Department of Homeland Security, Transportation Security Administration, Transportation security administration
024-50-0508	Department of Homeland Security, Transportation Security Administration, FEE FUNDED, Salaries and Expenses
024-50-0509	Department of Homeland Security, Border and Transportation Security, Federal Law Enforcement Training Center O
024-50-0510	Department of Homeland Security, Border and Transportation Security, Federal Law Enforcement Training Center C
024-50-0511	Department of Homeland Security, Border and Transportation Security, Office for Domestic Preparedness
024-60-0600	Department of Homeland Security, U.S. Coast Guard, Operating Expenses

Users can then either type the account number or use the pull-down menu to select the account with which you want to work. Once you have pressed enter or selected the account from the pull-down menu, the database will move to that record.

⑤ The reporting buttons, below the account number field, allow you to view and print the information for either the account on the screen at the time you click the View Account Summary button, or for all accounts for the agency on the screen at the time you click the View Agency Summary button. For example, clicking on the View Account Summary button for the Transportation Security Administration account will generate this report:

Homeland Security and Overseas Combating Terrorism Data Collection
(budget authority in millions of dollars)

Summary Account Information

Agency and Bureau: Department of Homeland Security, Transportation Security Administration
 Account Number and Name: 024-50-0508 - Transportation security administration
 Account Description: Funding for administration, not of force

	FY03 En	FY03 Sup	FY04 Bud	FY04 En	FY05 Agy
Total Homeland Security Funding	2,604	1,391	2,324	--	--
Total Overseas Combating Terrorism Funding	--	--	--	--	--

Activity-Level Information

	HSOCT	CIP/COOP	WMD	R&D	FY 03 En	FY 03 Sup	FY 04 Bud	FY 04 En	FY 05 Agy	Comments
<u>Border and Transportation Security</u>										
Aviation Security	Homeland Security	CIP-P	<input type="checkbox"/>	<input type="checkbox"/>	1902.3	1321.0	1726.8	--	--	Funding for TSA aviation security activities.
Other Transportation Security	Homeland Security	CIP-P	<input type="checkbox"/>	<input type="checkbox"/>	498.5	50.0	506.6	--	--	Funding for other transportation security activities, such as land transportation security and headquarters administration.
<u>Research and Development</u>	Homeland Security	Other	<input type="checkbox"/>	<input checked="" type="checkbox"/>	80.2	--	75.0	--	--	Funding for basic explosive detection research.
<u>Intelligence and Warning</u>										
Intelligence	Homeland Security	Other	<input type="checkbox"/>	<input type="checkbox"/>	13.0	--	13.6	--	--	TSA intelligence and Operations Center funding.
<u>Protecting Critical Infrastructure and Key Assets</u>										
Port infrastructure grants	Homeland Security	CIP-P	<input type="checkbox"/>	<input type="checkbox"/>	150.0	20.0	--	--	--	Funding for port infrastructure and vulnerability assessment grants.
<u>Totals by Funding Type</u>										
Homeland Security Total					2604.0	1391.0	2324.0	--	--	
Overseas Combating Terrorism Total					--	--	--	--	--	
<u>Homeland Security Totals by Mission Area</u>										
Border and Transportation Security					2441.0	1371.0	2310.4	--	--	
Defending Against Catastrophic Threats					--	--	--	--	--	
Emergency Preparedness and Response Total					--	--	--	--	--	
Domestic Counterterrorism Total					--	--	--	--	--	
Protecting Critical Infrastructure and Key Assets Total					150.0	20.0	--	--	--	
Domestic Intelligence and Warning Total					13.0	--	13.6	--	--	
Other Total					--	--	--	--	--	

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As you can see, the summary account information is included at the top of the report, while the detailed, activity-level information is shown in the lower section. Note that the activity-level information is grouped by National Strategy for Homeland Security Mission Area and that totals are calculated for all activity-level data by funding type (these totals should match the overall account totals reported in the account summary section). Additionally, the report displays totals by National Strategy Mission Area.

⑥ The Homeland Security funding levels shown in the orange section of the database interface represent the total funding for Homeland Security activities in the account. The FY 2003 Enacted, FY 2003 Supplemental and FY 2004 Budget levels are locked, and can not be changed in this database. However, if you have revisions to any of this information, please contact your OMB examiner. The FY 2004 Enacted and FY 2005 Agency levels are open, and should be revised. All funding levels must be developed by agency budget offices in conjunction with OMB examiners, and should represent the most current estimates available (if FY 2004 appropriations are not enacted at the time of your budget submission, please leave those levels at 0). The current definition for homeland security activities is:

Activities that focus on combating and protecting against terrorism that occurs within the United States and its territories (this includes Critical Infrastructure Protection (CIP) and Continuity of Operations (COOP) data), or outside of the United States and its territories if they support domestically-based systems or activities (e.g., visa processing or pre-screening high-risk cargo at overseas ports). Such activities include efforts to detect, deter, protect against, and, if needed, respond to terrorist attacks.

⑦ The Overseas Combating Terrorism funding levels shown in the orange section of the database interface represent the total funding for Overseas Combating Terrorism activities in the account. This total level is locked, and can not be changed in this database. The FY 2003 Enacted, FY 2003 Supplemental and FY 2004 Budget levels are locked, and can not be changed in this database. The FY 2004 Enacted and FY 2005 Agency levels are open, and should be revised. All funding levels must be developed by agency budget offices in conjunction with OMB examiners, and should represent the most current estimates available (if FY 2004 appropriations are not enacted at the time of your budget submission, please leave those levels at 0). The current definition for Overseas Combating Terrorism activities is:

Activities that focus on combating and protecting against terrorism that occurs outside the United States and its territories. Such activities include efforts to detect, deter, protect against, and, if needed, respond to terrorist attacks.

⑧ The activity level detail section of the database interface is the section that you will use to enter detailed information in support of the account totals shown on the Homeland Security and Overseas Combating Terrorism lines. OMB examiners may have already provided some data in this section, however you will need to review and validate their entries. Please carefully review the instructions (explained below for all fields, from left to right) for entering data into this section:

Activity/Program Name	Funding Type	WMD	R&D	CIP/COOP	Nat. Strat Mission	FY 03	FY 03 Supp	FY 04 Budget	FY 04 Enacted	FY 05 Agency
Aviation Security	Homeland Security	<input type="checkbox"/>	<input type="checkbox"/>	CIP-P	Border and Transportation Security	1902.3	1321	1728.8	0	0
Comments: Funding for TSA aviation security activities, including passenger and baggage screening, Federal Air Marshals, and systems projects related to advance passenger screening.										

First, determine the Activity/Program Name and enter it into the first space on the interface. As discussed above, an important part of this exercise is determining the appropriate level at which data will be reported.

In the next field, select Homeland Security or Overseas Combating Terrorism from the pull-down list, as appropriate for the program. Note that if you have programs that include both Homeland Security and Overseas Combating Terrorism funding, you will need to enter two separate lines of data.

The two check boxes that follow the Funding Type pull-down list are to indicate whether the funding is to defend against or combat Weapons of Mass Destruction (WMD) or to fund Research and Development (R&D) efforts to produce technologies to detect, deter, prevent, treat, remediate, or attribute terrorist attacks. Check either box, as appropriate. If either box is checked, the entire amount of funding shown on that line of data should be for WMD and/or R&D programs exclusively. For this exercise, the term "weapons of mass destruction" means any weapon or device that is intended, or has the capability, to cause death or serious bodily injury to a significant number of people through the release, dissemination, or impact of: toxic or poisonous chemicals or their precursors, a disease or organism, or radiation or radioactivity. The term Research and Development includes efforts up to and including the production of a functioning prototype – this encompasses all basic and applied research; demonstration and validation of the technology; and engineering and manufacturing development to produce a prototype. For example, Department of Defense programs would include funding in categories 6.1, 6.2, 6.3, and 6.4. Please note that funding to take prototypes to operational system development is not included in the R&D definition for this exercise.

The next field offers the choice between whether the funding is for CIP, COOP, or Other non-CIP and non-COOP. CIP activities should be further disaggregated into efforts associated with enhancing the physical (CIP-P) or cyber (CIP-C) security of public and private sector infrastructures. Within physical security programs, include the protection key assets such as national monuments and icons. Within cybersecurity programs, include information systems that are so vital to the nation that their incapacitation or destruction would have a debilitating impact on national security, national economic security, and/or national public health or safety. COOP refers to the capability of federal agencies to perform essential functions during any emergency or situation that may disrupt normal operations. If CIP or COOP is selected for this field, then funding on the line of information should be exclusively for either CIP or COOP activities.

The National Strategy Mission Area field offers a choice between the six critical mission areas identified in the National Strategy for Homeland Security: Intelligence and Warning, Border and Transportation Security, Domestic Counterterrorism, Protecting Critical Infrastructure and Key Assets, Defending against Catastrophic Threats, and Emergency Preparedness and Response. For this field, select the critical mission area that best describes the activity or program reported on the line. While in-depth discussions of the critical mission areas are included in the National Strategy for Homeland Security (<http://www.whitehouse.gov/homeland/book/index.html>), summary descriptions are provided below:

- ***Intelligence and Warning.*** Terrorism depends on surprise. This mission area includes intelligence programs and warning systems that can detect terrorist activity before it manifests itself in an attack so that proper preemptive, preventive, and protective action can be taken. Specifically, this mission area is made up of efforts to identify, collect, analyze, and distribute source intelligence information or the resultant warnings from intelligence analysis.

- ***Border and Transportation Security.*** This mission area includes border (including immigration activities) and transportation security programs designed to fully integrate homeland security requirements into existing domestic transportation systems. Since current systems are inextricably intertwined with the global transport infrastructure, virtually every community in America is connected to the global transportation network by the seaports, airports, highways, pipelines, railroads, and waterways that move people and goods into, within, and out of the Nation. This mission area focuses on innovative programs to promote the efficient and reliable flow of people, goods, and services across borders, while preventing terrorists from using transportation conveyances or systems to deliver implements of destruction.
- ***Domestic Counterterrorism.*** This mission area incorporates federal funding for any law enforcement programs (including State, Local, or Regional) that investigate and prosecute criminal activity and now assign priority to preventing and interdicting terrorist activity within the United States. It includes all homeland security programs – both traditional and nontraditional – that identify, halt, prevent, and, where appropriate, prosecute terrorists in the United States. It also includes pursuit not only of the individuals directly involved in terrorist activity, but also their sources of support: the people and organizations that knowingly fund the terrorists and those that provide them with logistical assistance.
- ***Protecting Critical Infrastructure and Key Assets.*** An attack on one or more pieces of our critical infrastructure may disrupt entire systems and cause significant damage. Programs that improve protection of the individual pieces and the interconnecting systems that make up our critical infrastructure belong in this mission area. Any funding for programs associated with the physical or cyber security of federal assets also belongs in this mission area. This mission area also include programs designed to protect America’s key assets, which are those unique facilities, sites, and structures whose disruption or destruction could have significant consequences across multiple dimensions, including national monuments and icons.

America’s critical infrastructure and key assets encompass a large number of sectors, the 16 most important of which were outlined in the recently-published National Strategy for the Physical Protection of Critical Infrastructure and Key Assets:

- | | | |
|---------------------------|-------------------------------------|--------------------------------|
| ○ Agriculture and Food | ○ Energy | ○ National Monuments and Icons |
| ○ Water | ○ Transportation | ○ Nuclear Power Plants |
| ○ Public Health | ○ Banking and Finance | ○ Dams |
| ○ Emergency Services | ○ Chemicals and Hazardous Materials | ○ Government Facilities |
| ○ Defense Industrial Base | ○ Postal and Shipping | ○ Commercial Key Assets |
| ○ Telecommunications | | |

- ***Defending against Catastrophic Threats.*** This mission area includes Homeland Security programs that involve protecting against, detecting, deterring, or mitigating the terrorist use of weapons of mass destruction, including understanding terrorists’ efforts to gain access to the expertise, technology, and materials needed to build chemical, biological, radiological, and nuclear weapons. In addition, this mission area includes funding for efforts or planning to decontaminate buildings, facilities, or geographies after a catastrophic threat.
- ***Emergency Preparedness and Response.*** This mission area includes programs that prepare to minimize the damage and recover from any future terrorist attacks that may occur despite

our best efforts at prevention. This includes programs that help to plan, equip, train, and practice the response capabilities many different response units (including first responders, such as police officers, firefighters, emergency medical providers, public works personnel, and emergency management officials) ready to mobilize without warning for any emergency. This area also includes programs that will consolidate federal response plans and build a national system for incident management in cooperation with state and local government including emergency preparedness and response efforts to engage the private sector and the American people.

The next five fields are for the collection of the funding associated with the combination of variables identified in the other fields for the line of data. Note that FY 2003 appropriations should be split between regular appropriations and supplemental appropriations (war supplemental plus any other enacted FY 2003 supplemental appropriations). Enter the amount of funding in millions, with thousands represented as decimal values (e.g., \$24,199,000 would be entered as 24.199). As with the account-level totals, the FY 2003 Enacted, FY 2003 Supplemental, and FY 2004 Budget columns are locked. Please contact your OMB examiner if you have revisions to any of those amounts.

The final detail field in the interface is for your comments to explain the activity or programs funded by the listed amounts. Use this section to explain the funding in greater detail, or explain the components that make up the reported activity. Note that while the comments field displays only two lines, it can accept an unlimited amount of text.

⑨ The record selector part of the interface allows you to navigate between appropriations accounts. To move forward, click on the right triangle button (▶), while to move to the last record for the agency, click on the last record button (►►). Similarly, clicking on the left triangle button (◀) moves back and the first record button (◀◀) moves to the beginning of the agency accounts.

⑩ Click on the Close Database button when you have finished entering your data or want to stop using the database. Note that information entered is saved automatically to the database as data is entered.

If you have specific comments for the developers about the design or operation of the database, click on the Enter Comments button. The interface for comments accepts one comment per agency, and can handle an unlimited amount of text.

Once you have completed entering the activity-level information for all accounts in the database, please return the database file to your OMB examiner with your fall budget submission. Please see the section “Returning the Database to OMB” for more explanation.